

**Attorney Docket No.: NVID-072/00US**  
**Client Reference No.: P000670**

**PATENT**

Express Mail Label Number: EV 316173744US

Date of Deposit: October 16, 2003

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of Michael L. LIGHTSTONE, et al.

Serial No.: Not assigned

Examiner: Not assigned

Filed: Herewith

Art Unit: Not assigned

For: **APPARATUS, SYSTEM, AND METHOD FOR VIDEO ENCODER RATE CONTROL**

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**Mail Stop Patent Application**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL**

Enclosed is an Information Disclosure Statement and accompanying Form PTO/SB/08A for the above-identified patent application.

☒ In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.

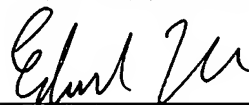
The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 03-3117.

Dated: 10/16/03

Respectfully submitted,  
**COOLEY GODWARD LLP**

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**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §1.97(b)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,  
Applicant(s) hereby submits the following information in conformance with 37 C.F.R.  
§§1.97 and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, copies of documents **D1-D3** listed cited in the attached Form PTO/SB/08 are enclosed.
- ☐ No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. \_\_\_ to which the above-identified application claims priority under 35 U.S.C. §120.
- ☒ No copies of any U.S. patents or U.S. patent application/ publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98 because this application was filed after June 30, 2003.
- ☐ Publication(s) \_\_\_ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to \_\_\_ application serial no. \_\_\_ and mailed on \_\_\_.

- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_\_\_. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_\_\_. English language publication \_\_\_\_ (copy enclosed) claims priority from this non-English publication.
- ☐ Enclosed is an explanation of non-English publication(s) \_\_\_\_\_ for which an English translation is not available.
- ☐ Enclosed is an English translation of non-English publication(s) \_\_\_\_\_ cited in the attached Form PTO/SB/08A.
- ☐ Enclosed is a copy of pending patent Application Serial No. \_\_\_\_\_.

This Information Disclosure Statement is filed within any one of the following time periods:

- ☒ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;
- ☐ before the mailing date of a first office action on the merits; or
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.

It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.


Dated: \_\_\_\_\_

10/16/03

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Respectfully submitted,  
**COOLEY GODWARD LLP**

By: \_\_\_\_\_

  
Edward A. Van Gieson  
Reg. No. 44,386

Please type a plus sign (+) inside this box → +

PTO/SB/08A (08-00)

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	Not assigned
				Filing Date	Herewith
				First Named Inventor	Michael L. LIGHTSTONE, et al.
				Group Art Unit	Not assigned
				Examiner Name	Not assigned
Sheet	1	of	1	Attorney Docket Number	NVID-072/00US

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
	P1	6,567,127		Orr et al.	05-20-2003

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	D1	DING, et al.; "Rate Control of MPEG Video Coding and Recording by Rate-Quantization Modeling;" <i>IEEE Transactions on Circuits and Systems for Video Technology</i> ; Vol. 6, No. 1; February 1996; Pages 12-20.	
	D2	On-line document-MPEG.ORG – MPEG Software Simulation Group (MSSG); <a href="http://www.mpeg.org/MPEG/MSSG/index.html">http://www.mpeg.org/MPEG/MSSG/index.html</a> ; October 6, 2003, Pages 1-3.	
	D3	On-line document-MPEG-2 Test Model 5, <a href="http://www.mpeg.org/MPEG/MSSG/tm5">http://www.mpeg.org/MPEG/MSSG/tm5</a> ; October 6, 2003: Overview: "History and the Surgeon General's Warning about TM-5," Pages 1-5; TOC: "Original TM-5 Table of Contents," Pages 1-4; Chapter 5: "Motion Estimation and Compensation," Pages 1-7; Chapter 6: "Modes and Mode Selection," Pages 1-2; Chapter 7: "Transformation and Quantization," Pages 1-3; Chapter 8: "Coding," Pages 1-9; Chapter 10: "Rate Control and Quantization," Pages 1-5; Appendix A: "Discrete Cosine Transform," Page 1.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number.

<sup>2</sup> See attached Kinds of U.S. Patent Documents.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.